



PATENT

Atty. Docket: 52493.000163

131  
12-8-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Jonathan BOSWELL et al.

Serial No.: 10/028,284

Filed: December 28, 2001

Art Unit: 2161

Examiner: Unassigned

For: SYSTEM AND METHOD FOR PRICING OF A FINANCIAL PRODUCT OR  
SERVICE USING A WATERFALL TOOL

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

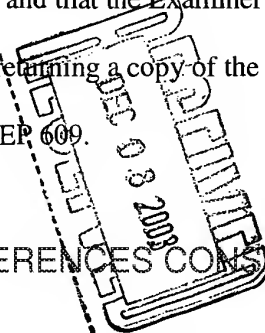
RECEIVED  
NOV 02 2003  
GROUP 3600

In accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicants respectfully request consideration of the references listed on the attached Form PTO/SB/08A. Copies of the references listed are also enclosed.

Applicants respectfully point out that the submission of the listed documents in this Information Disclosure Statement is not an admission that they are prior art or that they are material to patentability of any claims of the application. Also, the submission of this Information Disclosure Statement is not an indication that a search has been made.

Applicants respectfully request that the Examiner consider the references cited on the Form PTO/SB/08A and that the Examiner indicate that the references have been considered in this application by returning a copy of the Form PTO/SB/08A with the Examiner's initials in the left column per MPEP 609.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /JG/

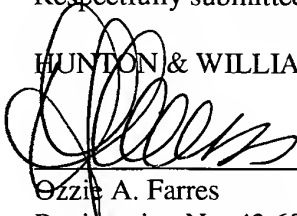


This IDS is submitted prior to the issuance of a first Office Action on the merits; therefore, it is believed that no fees are required in connection therewith. If any fees are necessitated by the filing of this Information Disclosure Statement, please charge the undersigned's Deposit Account No. 50-0206.

Respectfully submitted,

HUNTON & WILLIAMS LLP

Date: 11/26/03

  
Ozzie A. Farres

Registration No. 43,606

1900 K Street, N.W., Suite 1200  
Washington, D.C. 20006-1109  
Ph. (202) 955-1500  
Fax (202) 778-2201  
OAF/sdw

NOV 26 2003

PTO/SB/08A (10/01) (modified)  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				<b>Application Number</b>	<b>10/028,284</b>
				<b>Filing Date</b>	<b>December 28, 2001</b>
				<b>First Named Inventor</b>	<b>Jonathan BOSWELL et al.</b>
				<b>Art Unit</b>	<b>2161</b>
				<b>Examiner Name</b>	<b>Unassigned</b>
<b>Sheet</b>	<b>1</b>	<b>of</b>	<b>1</b>	<b>Attorney Docket Number</b>	<b>52493.000163</b>

## U.S. PATENT DOCUMENTS

*Examiner Initials	Cite No.	DOCUMENT NUMBER Number - Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/JG/	1.	US- 5752236	05-12-1998	Sexton et al.	
/JG/	2.	US- 5926817	07-20-1999	Christeson et al.	
/JG/	3.	US- 6125355	09-26-2000	Bekaert et al.	
/JG/	4.	US- 6151559	11-21-2000	Williams	

RECEIVED  
NOV 02 2003  
GROUP 3600

## FOREIGN PATENT DOCUMENTS

*Examiner Initial	Cite No.	FOREIGN PATENT DOCUMENT		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	TRANSLATION	
		Country Code:	Number - Kind Code (if known)				YES	NO
							<input type="checkbox"/>	<input type="checkbox"/>
							<input type="checkbox"/>	<input type="checkbox"/>

## NON-PATENT LITERATURE DOCUMENTS

*Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		
/JG/	5.	International Search Report dated 09/09/03 for PCT/US02/39205		

EXAMINER SIGNATURE /Jocelyn Greimel/

DATE CONSIDERED 02/18/2008

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /JG/